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UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 12640US01)

In the Application of:

ROBERT CAREY et al.

Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING  
SECURITIES FOR A PORTFOLIO



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents, D.C. 20231  
on November 20, 2000.

By: Ronald E. Larson  
Ronald E. Larson  
Reg. No. 24,478

TRANSMITTAL OF  
FIRST SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
AFTER APPLICATION FILING DATE

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

**ENCLOSURES**

Enclosed are the following:

A completed PTO form 1449 which has 1 page.

A copy of each printed or patented reference listed in the enclosed form 1449 and not previously provided to or by the PTO in this application. One reference is enclosed.

A First Supplemental Information Disclosure Statement describing the reference listed in the enclosed Form 1449.

**FEE DETERMINATION**

No fee is believed to be due because this statement and enclosures are being filed prior to receipt of the first Official Action reflecting an examination on the merits.

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The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

### **REQUEST FOR CONSIDERATION**

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above. The Examiner is required to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicant(s) to indicate consideration of the enclosed references.

Respectfully submitted,

November 20, 2000  
DATE

Ronald E. Larson  
Ronald E. Larson  
Reg. No. 24,478  
Attorney for applicant(s)

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**FIRST SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington DC 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the following reference be  
considered in the examination of the above-identified patent application:

| US PATENT NO. | NAME  | DATE     |
|---------------|-------|----------|
| 6,035,286     | Fried | 03/07/00 |

The above-identified reference is listed on the attached PTO Form 1449, and a copy is  
also enclosed herewith.

This submission is in no way intended as an admission that the above-cited references  
constitute prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the

right to take any actions necessary to remove the above-cited references from the available prior art.

This First Supplemental Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this First Supplemental Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Account No. 13-0017. A duplicate copy of this document is enclosed.

Respectfully submitted,

A handwritten signature in cursive script, reading "Ronald E. Larson", is written over a horizontal line.

Ronald E. Larson  
Registration No. 24,478  
Attorney for Applicant

November 20, 2000  
Date

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